

AGENCY FOR INTERNATIONAL DEVELOPMENT

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APPRAISAL SUBCOMMITTEE of FEDERAL FINANCIAL INSTITUTIONS
EXAMINATION COUNCIL

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COMMITTEE FOR PURCHASE FOR THE BLIND/SEVERELY DISABLED

Committee for Purchase for the Blind and Severely Disabled Single Point of Contact:

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COMMODITY FUTURES TRADING COMMISSION

The Commodity Exchange Act (CEA) establishes a regulatory scheme for the commodity futures and options industry that generally depends on industry self-regulation with federal oversight by the Commodity Futures Trading Commission (CFTC). The National Futures Association (NFA) and other self-regulatory organizations (SROs) generally conduct routine compliance reviews in the futures industry. The NFA is responsible for most of the compliance reviews of retail sales practices in the industry and in this regard, it has a program for the voluntary review of promotional materials. NFA's Internet website includes a "Contact NFA" section providing telephone numbers for its general Information Center and specific compliance contact personnel

(www.nfa.futures.org/contact/indexContact.asp), as well as various published compliance information (www.nfa.futures.org/compliance/publications.asp).

The CFTC provides compliance guidance to small businesses through several methods. The CFTC's Internet website includes a "Law & Regulation" section (www.cftc.gov/cftc/cftclawreg.htm) providing general information concerning the requirements of the CEA, CFTC Orders, and staff exemptive, no-action and interpretive letters. This section links to a specific "Compliance" page (www.cftc.gov/tm/tmcompliance.htm) that contains guidance to assist firms and individuals who conduct commodity futures and options business with customers in complying with the CEA provisions and CFTC Regulations applicable to their activities. Informal guidance also is available through the "Publications" section of the CFTC website (www.cftc.gov/cftc/cftcreports.htm), which contains "CFTC Backgrounders" and other brochures providing information of use to small businesses. Staff members in the CFTC's various divisions offer informal assistance and guidance in response to telephone inquiries and e-mail messages submitted through the CFTC website. These include:

- The Division of Clearing and Intermediary Oversight [(202) 418-5430] - inquiries concerning rules governing protection of customer funds, trading and sales practice issues, registration and disclosure issues, and financial requirements.
- The Division of Market Oversight [(202) 418-5260] - Inquiries concerning market and product design, market surveillance, position reporting, and trade practice issues.
- The Office of General Counsel [(202) 418-5120] - assigns an "Attorney of the Day" to answer telephone inquiries about the CEA and CFTC Regulations.
- The Division of Enforcement -provides notice to small businesses about their right to comment on CFTC actions pursuant to the Small Business Regulatory and Enforcement Fairness Act (SBREFA) whenever it makes a request to provide information voluntarily or pursuant to subpoena or the inspection provisions of the CEA. The CFTC and its staff are committed to ensuring that small businesses are provided a non-retaliatory environment in which to exercise their right to comment.

The CFTC has a small business liaison located in the Office of External Affairs. When the agency receives inquiries related to small business, such as communications from the office of the National Ombudsman, they are forwarded to the liaison. The liaison also works with the Ombudsman to provide information and resolve any issues or complaints received by the Ombudsman's office.

Commodity Futures Trading Commission Single Point of Contact:

Terry S. Arbit, Associate General Counsel
(Legislative Affairs)
Three Lafayette Centre
1155 21st Street, N.W.
Washington, DC 20581
Telephone: 202-4518-5257
E-mail: tarbit@cftc.gov

CONSUMER PRODUCT SAFETY COMMISSION

- <http://www.cpsc.gov/businfo/businfo.html>
1-800-638-CPSC
- CPSC offers publications, web based compliance and on-line / e-mail service, including, but not limited to *A Small Business Guide to the US CPSC*
<http://www.cpsc.gov/businfo/smbusgde.html>

Consumer Product Safety Commission Single Point of Contact:

Thomas W. Murr, Jr.
Deputy Executive Director
U.S. Consumer Product Safety Commission
4330 East West Highway
Bethesda, MD 20814
Telephone: 301-504-7907
E-mail: tmurr@cpsc.gov

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

Corporation for National and Community Service Single Point of Contact:

Bill Hudson
Corporation for National and Community Service
Office of the General Council Rm. 8200
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Washington DC 20525
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Fax: 202-565-2796
E-mail: whudson@cns.gov

DC COURT SERVICES & OFFENDER SUPERVISION

DC Court Services & Offender Supervision Single Point of Contact:

Jim Williams, Associate Director
Management and Administration
633 Indiana Avenue NW, Suite 1323
Washington DC 20004-2902
Telephone: 202-220-5707
E-mail: jim.williams@csosa.gov

ENVIRONMENTAL PROTECTION AGENCY

EPA currently has over 100 initiatives, activities, and services directed at small business needs. EPA efforts include a toll-free hotline; newsletters; Web sites; e-mail listserv; information alerts on emerging regulatory issues; industry sector specific guides directed at providing information on specific industry processes, Federal regulatory requirements, compliance history and pollution prevention information; expert systems; voluntary programs; and training programs.

EPA's Small Business Ombudsman (SBO) provides a "gateway" and dedicated support for small businesses to reach EPA compliance assistance resources offered by EPA, the

states and other sources. The SBO answers technical and regulatory questions on a toll-free hotline, provides more than 350 free EPA publications, develops compliance assistance tools, and gives direct access to regulatory assistance on a comprehensive website. It publishes the SBO newsletter twice a year to report important EPA activities and give timely alerts to small businesses and interested service providers on EPA actions. The SBO acts as the focal point and provides multi-level support and coordination for an extensive national network of small business assistance programs, and works with small businesses, service providers, and state and regional officials to address small business needs.

The Small Business Gateway is a web site that links to EPA's assistance programs for small business. <http://www.epa.gov/smallbusiness/>

EPA also partners with industry representatives and others on sector-specific Compliance Assistance Centers. The centers support the agriculture, automotive service and repair, chemical manufacturing, metal finishing, paints and coatings, printed-wiring-board manufacturing, printing, transportation, construction, auto recycling, and border compliance sectors by providing tools such as checklists, plain language guides, and technical information to help small businesses understand their regulatory requirements.

Compliance Assistance Centers:

- Agriculture <http://www.epa.gov/agriculture/>
- Auto Service Industry <http://www.ccar-greenlink.org>
- Chemicals <http://www.chemalliance.org/>
- Local Government <http://www.lgean.org/>
- Metal Finishing <http://www.nmfrc.org/>
- Paints and Coatings <http://www.paintcenter.org/>
- Printed Wiring Boards <http://www.pwbrc.org/>
- Printing <http://www.pneac.org/>
- Transportation <http://www.transource.org/>

EPA also manages a National Compliance Assistance Clearinghouse as a guide to compliance information on the Internet. This site gives comprehensive links to EPA environmental compliance assistance materials, as well as materials from all 50 states and other organizations. The Clearinghouse contains many features allowing small businesses to interact directly with EPA and improve communication and collaboration among compliance assistance providers.

EPA's Small Business Compliance Policy promotes environmental compliance among small businesses by providing incentives to discover and make good faith efforts to correct violations. Software is also available to assist in certain reporting requirements. The "Toxics Release Inventory – Made Easy" (TRI-ME) software guides users through the entire Toxics Release Inventory reporting process from start to finish.

Information on EPA's initiatives and activities is available on the EPA Small Business Ombudsman Web site <http://www.epa.gov/sbo>. This site links to the Small Business

Environmental Homepage <http://www.smallbiz-enviroweb.org/>, which provides extensive small business assistance information. EPA National Asbestos & Small Business hotline for inquiries on environmental regulations may be reached via a toll free number (1-800-368-5888).

Environmental Protection Agency Single Point of Contact:

Karen V. Brown, Director
Small Business Division
EPA Small Business Ombudsman (SBPRA point of contact)
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E-mail: brown.karen@epa.gov

EXPORT-IMPORT BANK

The Export-Import Bank of the United States (Ex-Im Bank) is the official export credit agency of the United States. Ex-Im Bank's mission is to assist in financing the export of U.S. goods and services to international markets. Ex-Im Bank enables U.S. companies - large and small - to turn export opportunities into real sales that help to maintain and create U.S. jobs and contribute to a stronger national economy.

Ex-Im Bank does not compete with private sector lenders but provides export financing products that fill gaps in trade financing. We assume credit and country risks that the private sector is unable or unwilling to accept. We also help to level the playing field for U.S. exporters by matching the financing that other governments provide to their exporters.

Ex-Im Bank provides working capital guarantees (pre-export financing); export credit insurance (post-export financing); and loan guarantees and direct loans (buyer financing). No transaction is too large or too small. On average, 85% of our transactions directly benefit U.S. small businesses.

With nearly 70 years of experience, Ex-Im Bank has supported more than \$400 billion of U.S. exports, primarily to developing markets worldwide.

- Export-Import Bank Mission Statement: <http://www.exim.gov/about/mission.html>
- Pre-Export Financing To Help U.S. Exporters Maximize Borrowing Potential: http://www.exim.gov/products/work_cap.html
- Increase Your Export Sales While Minimizing Risks: <http://www.exim.gov/products/insurance/index.html>
- Special Initiatives for Underserved Small Businesses: <http://www.exim.gov/products/special/underserved.html>

Export-Import Bank Single Point of Contact:

Letitia Kress
Export-Import Bank
811 Vermont Avenue, NW
Washington, DC 20571
Telephone: 202-565-3613
E-mail: letitia.kress@exim.gov

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**Small Business Initiative**

EEOC has developed a Small Business Initiative (SBI) to improve customer service and expand outreach, education, and technical assistance to the small business community. The SBI aims to promote voluntary compliance by building a more cooperative and collaborative relationship with the small and mid-sized business community and to address EEO concerns expressed by small business owners. The main components of the SBI include:

Small Business Liaisons:

Every EEOC District office has a Small Business Liaison available to employers who have questions about the laws enforced by EEOC or about compliance with those laws in specific workplace situations. Information on contacting Small Business Liaisons can be found at www.eeoc.gov/small/contacteeoc.html.

Small Business Web Page:

www.eeoc.gov/small - While the information on this page applies to all employers, it has been specifically designed for small businesses which may not have a human resources department or a specialized EEO staff. The page is designed to make it easier for small businesses to comply with the anti-discrimination laws and help them in their dealings with the EEOC.

No-Cost Outreach and Education Programs

EEOC's outreach and education programs provide information about the employment discrimination laws enforced by EEOC and the EEOC charge/complaint process. EEOC representatives are available at no cost to make presentations and participate in meetings with employers and their representative groups. For example, EEOC hosts regular meetings with employers and employer groups, such as stakeholder advisory councils to get feedback on legal and operational issues; provides speakers and trainers for conferences, seminars, workshops and classroom presentations and for regular scheduled meetings of organizations, professional associations, etc; distributes information materials on EEO laws and represent the Commission at events, such as job fairs, conventions and conferences; and participates in media presentations - including radio and TV interviews, as well as cyber- chats.

A list of outreach coordinators and contact information can be found at www.eeoc.gov/outreach/coordinators.html.

Fee-Based Training and Technical Assistance

EEOC presents a wide variety of fee- based training and technical assistance programs throughout the country geared to employers in the private sector, including small businesses, as well as federal, state and local government agencies. Training and technical assistance available includes:

Technical Assistance Program Seminars (TAPS):

Seminars emphasize how to prevent EEO problems from developing and how to resolve discrimination complaints effectively when they do arise. Real-life case studies and examples often are used to show how equal employment requirements apply to specific employment practices. Updates on important legal developments, Commission policy and procedures and vital information about EEOC's latest initiatives and alternative dispute resolution program are discussed. Specialized topics will differ by seminar and may include in-depth sessions on issues such as: sexual and racial harassment; complex ADA issues, including the ADA's relation to other workplace laws; and religious and national origin discrimination. Whenever practicable, small group breakouts, question and answer periods, interactive formats and informal discussions are used in the seminars, which enable participants to receive answers to specific EEO questions.

Customer Specific Training Programs:

EEOC staff provide specialized training on various employment discrimination topics for employers at their work site or at an organization's meeting or training events.

Training Products:

EEOC has developed training course materials on Workplace Harassment Issues: How to Identify, Prevent and Eliminate Workplace Harassment, which are available for employers who want to deliver their own training. Additional training courses on the Americans with Disabilities Act and other topics are under development and will be available in the future.

Information on Training Contacts can be found at
www.eeoc.gov/outreach/coordinators.html.

Publications

- EEOC fact sheets, information materials and brochures and other publications are available at no cost. They can be ordered by calling 1-800-669-3362 (voice) or 1-800-800-3302 (TTY) or through the Internet at www.eeoc.gov/publications.html
- Training and Technical Assistance Materials available for direct purchase - A seven volume set of resource manuals provides a comprehensive and invaluable EEO library on employment discrimination issues. Each volume contains training exercises, practical guidance and copies of EEOC's most important policy interpretations, including information concerning recent important Supreme Court decisions affecting Federal EEO law. The volumes are compiled and written by legal experts and training professionals from the EEOC, the Federal agency

responsible for enforcing and interpreting the country's various Federal employment discrimination laws. The entire series is updated annually to reflect changes in law, court decisions and new EEOC guidance. These materials are useful for employers, human resource/EEO professionals, attorneys, labor representatives and others interested in EEO matters in the private, federal and state and local government sectors. These manuals can be ordered through www.eeoc.gov/outreach/manuals.html

Web Page

- EEOC's web page – www.eeoc.gov - provides easy-to-use information on federal laws prohibiting job discrimination, including a question and answer format. The site also provides copies of news/press releases, laws enforced by EEOC, regulations, and policy guidance issued by EEOC, as well as information on outreach, training and technical assistance and publications.
- The site provides links to other federal labor law enforcement agencies and other federal agencies which may have information/resources useful to employers.
- EEOC has also worked with many federal agencies, such as the Small Business Administration, Office of the National Ombudsman, to ensure EEOC's web page is available as a link.

New Freedom Initiative

EEOC is working closely with small business organizations and disability groups to conduct a series of free outreach and education events for small businesses as part of President Bush's New Freedom Initiative. EEOC expects to continue putting on these events throughout fiscal years 2003 and 2004. EEOC has also produced *The Americans with Disabilities Act: A Primer for Small Business*, which is a practical, reader-friendly handbook for the small business person outlining the employment provisions of the ADA as they relate to both employees and job applicants. Information on the workshops is available at www.eeoc.gov/initiatives/nfi/index.html. A copy of the *Primer* is available at www.eeoc.gov/ada/adahandbook.html

Guidance Letters

EEOC's Office of Legal Counsel issues approximately 90 significant guidance letters a year explaining the employment discrimination statutes to employers and other stakeholders.

Equal Employment Opportunity Commission Single Point of Contact:

Laura Hinton
National Outreach Coordinator
Office of Field Programs, EEOC
1801 L Street, N.W.
Washington, DC 20507
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E-mail: laura.hinton@eeoc.gov

FEDERAL COMMUNICATIONS COMMISSION

The Federal Communications Commission (FCC) is an independent U.S. government agency, directly responsible to Congress. The FCC was established by the Communications Act of 1934 and is charged with regulating interstate and international communications by radio, television, wire, satellite and cable. The FCC's jurisdiction covers the 50 states, the District of Columbia, and U.S. possessions.

The FCC is directed by five Commissioners appointed by the President and confirmed by the Senate for 5-year terms, except when filling an unexpired term. The President designates one of the Commissioners to serve as Chairperson. Only three Commissioners may be members of the same political party. None of them can have a financial interest in any Commission-related business.

The Commission staff is organized by function. There are six operating Bureaus and ten Staff Offices. The Bureaus' responsibilities include: processing applications for licenses and other filings; analyzing complaints; conducting investigations; developing and implementing regulatory programs; and taking part in hearings. The Offices provide support services. Even though the Bureaus and Offices have their individual functions, they regularly join forces and share expertise in addressing Commission issues. The six operating Bureaus are: Consumer and Governmental Affairs, Enforcement, International, Media, Wireless Telecommunications, and Wireline Competition.

Concerning FCC small entity enforcement and compliance issues, the primary sources for information are the Enforcement Bureau, which enforces the Communications Act as well as the Commission's rules, orders and authorizations, and the Office of Communications Business Opportunities (OCBO), which provides advice to the Commission on issues and policies concerning telecommunications opportunities for small, minority and women-owned communications businesses.

E-Mail, Small Entity Contact Point:

ocboinfo@fcc.gov

Telephone Numbers:

- Office of Communications Business Opportunities (OCBO): 202-418-0990
- FCC Consumer Center, Toll-Free Telephone Service: 1-888-CALL-FCC (1-888-225-5322)
- TTY, FCC Consumer Center, Toll-Free Telephone Service: 1-888-TELL-FCC (1-888-835-5322)
- Enforcement Bureau: 202-418-7450

Website Locations:

- FCC Homepage and News Location: <http://www.fcc.gov>
- Office of Communications Business Opportunities (OCBO): <http://www.fcc.gov/ocbo/>
- Consumer Alerts and Factsheets -- Directory: http://www.fcc.gov/cgb/information_directory.html
- Small Entity Compliance Guides: <http://www.fcc.gov/ocbo/guides.html>
- Current Major Initiatives: <http://www.fcc.gov/initiatives.html>

- Consumer and Governmental Affairs Bureau: <http://www.fcc.gov/cgb/>
- Enforcement Bureau: <http://www.fcc.gov/eb/>

Federal Communications Commission Single Point of Contact:

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 U.S. Federal Communication Commission
 445 12th Street, S.W.
 Telephone: 202-418-0990
 E-mail: richard.lee@fcc.gov
ocboinfo@fcc.gov

FEDERAL DEPOSIT INSURANCE CORPORATION

Office of the Ombudsman: <http://www.fdic.gov/regulations/resources/ombudsman.html>

Federal Deposit Insurance Corporation Single Point of Contact:

Edward F. Gerber, Associate Ombudsman
 550 Seventeenth Street, N.W.
 PA-1730-2122
 Washington, DC 20429
 Telephone: 202-942-3869
 Fax: 202-942-3401
 E-mail: egerber@fdic.gov

FEDERAL ENERGY REGULATORY COMMISSION

Federal Energy Regulatory Commission Single Point of Contact:

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 Office of External Affairs
 Federal Energy Regulatory Commission
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FEDERAL MARITIME COMMISSION

Overview

The purpose of this guidance is to assist drafters of Federal Maritime Commission ("FMC" or "Commission") rules in appropriately implementing the requirements of the Regulatory Flexibility Act ("RFA"), as amended by the Small Business Regulatory Enforcement Fairness Act ("SBREFA"). In general, SBREFA amended the RFA to establish certain formal procedural and analytical requirements (described below) for rules the agency may develop which have the potential to impose a significant economic impact on a substantial number of small entities. If a rule will impose significant economic impact on a substantial number of small entities, a more formal analysis of the potential adverse economic impacts on small entities must be prepared. Additionally, Executive Order 13272 of August 13, 2002 ("EO 13272"), requires agencies to issue and

publish written procedures and policies for use in considering the potential impact of draft rules on small entities.

This guidance is not a binding Commission procedural rule. In determining and mitigating impacts on small entities, the FMC anticipates that there may be some situations in which agency staff and management must exercise considerable judgment. Nevertheless, we intend this guidance to provide an analytic and sequential structure that should be sufficient for most rulemakings. This guidance will be published on the Commission's Internet website (<http://www.fmc.gov>) for informational purposes.

The purpose of RFA/SBREFA is "to fit regulatory and informational requirements to the scale of the businesses, organizations and governmental jurisdictions subject to the regulation." To achieve this objective, agencies are required to "solicit and consider flexible regulatory proposals and to explain the rationale for their actions to assure that such proposals are given serious consideration." RFA/SBREFA does not require an agency necessarily to minimize a rule's impact on small entities if there are legal, policy, factual or other reasons for not doing so. RFA/SBREFA requires only that an agency determine, to the extent feasible, the rule's economic impact on small entities, explore regulatory options for reducing any significant economic impact on a substantial number of such entities, and explain its ultimate choice of regulatory approach.

Since its enactment, RFA has required every federal agency to prepare a regulatory flexibility analysis for any rule for which the agency is required to issue a notice of proposed rulemaking under the Administrative Procedure Act ("APA") or any other statute, unless the agency certifies that the rule "will not, if promulgated, have a significant economic impact on a substantial number of small entities." When SBREFA became law in 1996, the FMC developed procedures and guidelines to implement the applicable statutory requirements. The guidelines are being updated below to ensure continuing compliance with RFA/SBREFA requirements, as well as EO 13272.

In general, RFA/SBREFA requirements will apply to the FMC's rules subject to the notice-and-comment rulemaking requirements under the APA or any other statute. Exempt from the RFA requirement regarding a regulatory flexibility analysis or certification are Commission actions that are not rules (e.g., orders or adjudications), and rules that the Commission is not required by statute to propose before promulgating.

RFA/SBREFA Preliminary Analysis: Assessing the Impact on Small Entities

This part describes the procedures to follow for determining whether a regulatory flexibility analysis or certification of no significant economic impact on a substantial number of entities should be prepared for a proposed or final rule. It is a six-step process.

1. Is the rule subject to notice-and-comment rulemaking requirements?

As mentioned earlier, most, if not all, FMC proposed and final rules will be subject to notice-and-comment and therefore subject to RFA/SBREFA.

2. What types of entities will be subject to the rule's requirement?

The Commission has adopted small business standards pursuant to the North American Industrial Classification System ("NAICS") published by the Executive Office of the President, Office of Management and Budget. The staff has identified the following NAICS categories and codes defined by the Small Business Administration ("SBA") that fall within the Commission's regulatory jurisdiction:

483111 Deep Sea Foreign Transport of Freight - Vessel Operating Common Carriers ("VOCCs")

483112 Deep Sea Transportation of Passengers - Passenger Vessel Operators ("PVOs")

488320 Marine Cargo Handling - Marine Terminal Operators ("MTOs")

488510 Arrangement of Transportation of Freight and Cargo - Ocean Transportation Intermediaries ("OTIs")

Categories 483111 and 483112 are evaluated by the SBA according to their number of employees. The SBA has determined that if such a business establishment has less than 500 employees, it qualifies as a small business for SBA purposes. Business establishments in categories 488320 and 488510 are evaluated by their annual receipts in millions of dollars. In these categories, SBA determines that business establishments with annual receipts (gross annual revenues) of less than \$21.5 million are small businesses. The Commission will use SBA's determinations in its review of the impact of its regulatory undertakings on small businesses.

3. What types of small entities, if any, are subject to the rule's requirements?

VOCCs, PVOs, and MTOs generally are very large companies with far in excess of 500 employees, in the case of VOCCs and PVOs, and \$21.5 million in gross revenues, in the case of MTOs. These companies, as well as conferences or associations of such companies, generally are represented by retained counsel. They frequently raise informal, complex issues, and the Commission exerts considerable time and effort responding to them. Such entities are not the intended small business beneficiaries of SBREFA. OTIs, on the other hand, will be considered small businesses by the Commission.

Therefore, the Commission makes a refutable presumption that VOCCs, PVOs and MTOs are not small businesses encompassed within the programs and policies mandated by SBREFA. Nevertheless, a VOCC, PVO, or MTO that falls under SBA guidelines and seeks to be treated as a small business for Commission regulatory purposes may submit a request for such treatment to the Commission, along with payroll or gross annual revenue evidence, as applicable, to substantiate its claim and rebut the presumption.

4. What if no small entities are affected by the rule?

If a proposed rule does not affect any small entity (based on the definition of small entity provided above) RFA authorizes the Commission's Chairman to make a negative certification with respect to the rulemaking. This will be published in the *Federal Register* and be accompanied by the factual basis for certification as prepared by the originating Bureau/Office. This certification is subject to judicial review.

At the proposed rule stage, the affected parties have an opportunity to petition the Commission to be treated as small entities. If no such requests are received, the Chairman makes the negative certification in the final rule. If requests are received, the originating Bureau/Office, in conjunction with the Bureau of Trade Analysis ("BTA"), must determine if the petitioning entities should be treated as small businesses. If the originating Bureau/Office and BTA determine that these entities should, in fact, be treated as small businesses, the analysis set forth in step 5 will be conducted.

5. If small businesses are affected, is there a significant impact on a substantial number?

If a proposed rule is expected to have an effect on one or more small entities, a threshold analysis will be initiated by BTA with the assistance of the originating Bureau/Office. The threshold analysis is conducted to determine the extent of the impact and the number of small entities that would be affected by the proposed rule. It has been determined by the Commission that collection and maintenance of current financial data on every entity regulated by the FMC would cause undue cost and burden on the entities. Therefore, the threshold analysis is based on extrapolation of data and information from current economic trends and statistics, and the Commission's industry expertise. The results or findings of each threshold analysis are evaluated on a case-by-case basis to determine whether the proposed rule will have a significant impact on a substantial number of small businesses. In addition, any comments received on the proposed rule once it has been published in the *Federal Register* would be taken into consideration.

If it is determined that the proposed rule will not have a significant impact on a substantial number of small entities, a negative certification by the Commission's Chairman may be made. The certification should be published and explained in the supplementary information section of the proposed and final rules and supported in the rulemaking record as appropriate. The originating Office/Bureau, working with BTA as necessary, prepares a memorandum containing its analyses and explaining the negative certification. No further analysis is required to support the certification, unless the agency receives comments on the proposed rule's certification that raise issues about the basis of its analysis.

6. What if the rule would have a significant impact on a substantial number of small entities?

The primary purpose of the Initial and Final Regulatory Flexibility Analyses ("IRFA/FRFA") is to identify and consider regulatory alternatives "which **minimize** any significant economic impact of the proposed [or final] rule on small entities." (Sections 603 and 604 of RFA, emphasis added.) Therefore, if the threshold analysis shows that a proposed rule would have a significant impact on a substantial number of small businesses, the FMC must take the following steps:

1. Assure that small entities have been given an opportunity to participate in the rulemaking through various possible techniques. The originating Bureau/Office will implement one of the following or possible additional, measures:

- a. State in an advance notice prior to issuance of the proposed rulemaking that the rule may have a significant economic effect on a substantial number of small entities;
 - b. Publish a general notice of the proposed rulemaking in publications that small entities are likely to receive;
 - c. Directly notify small entities about the rule; or
 - d. Hold "open conference or public hearings" about the rule.
2. Prior to publishing the proposed rule, the Commission will notify SBA (and the Office of Information and Regulatory Affairs at the Office of Management and Budget ("OMB") as required by EO 12866).
3. Complete an IRFA, and publish it with the proposed rule. The IRFA, prepared by the originating Bureau/Office and BTA, must contain:
 - a. Reasons why the Commission is considering the action - this currently is in the preamble to all proposed regulations.
 - b. The objectives and legal basis for the proposed rule - this currently is included in a proposed rule.
 - c. The kind and number of small entities to which the rule will apply - to the extent possible, the originating Bureau/Office describes the industry and economic sector in total and its small and large entity segments, and explains any existing dynamics, such as trends in employment.
 - d. The projected recording, record keeping, and other compliance requirements of the proposed rule - this description should include an estimate of the classes of small entities that will be subject to the requirements and the type of professional skills necessary for the preparation of the report or record. A cost analysis should describe each item and estimate the costs, comparing large and small entities. It should distinguish the initial costs from recurring or operating costs. This information may be available from the paperwork burden analysis prepared under the requirements of the Paperwork Reduction Act.
 - e. Identify all federal rules that may duplicate, overlap, or conflict with the proposed rule - given the Commission's specific regulatory responsibility, it is extremely unlikely that any of its rules will duplicate, overlap, or conflict with the rules of other agencies. Should the situation arise, however, the Commission would need to include information for regulated entities on other rules governing the same activities. In some instances, the existence of relevant rules of other agencies will be known to the originating Bureau/Office. When legal research is required, it will be done by the Bureau of Enforcement ("BOE").
4. The FMC then must produce an FRFA with the final rule. This analysis, prepared by the originating Bureau/Office and BTA, must contain the comments, if any, of SBA. It also must contain:
 - a. A succinct statement of the need for and objectives of the rule;
 - b. A summary of significant issues raised by public comments in response to the initial regulatory flexibility analysis, and a summary of the originating Bureau/Office's assessment of such comments;
 - c. The Commission's written response to any written comments submitted by SBA, unless the Chairman certifies that the public interest is not served thereby.

- d. A description and an estimate of the number of small entities to which the rule will apply or an explanation of why no such estimate is available;
- e. A description of the projected reporting, record keeping, and other compliance requirements of the rule, including an estimate of the classes of small entities that will be subject to the requirements and the type of professional skills necessary for the preparation of the report record; and,
- f. A description of the steps the FMC has taken to minimize the significant economic impacts on small entities consistent with the stated objectives of applicable statutes, including a statement of the factual, policy, and legal reasons for selecting the alternative adopted in the final rule, and the reasons for rejecting each of the other viable alternatives.

Small Entity Compliance Guide

If a final regulatory flexibility analysis is necessary, a compliance guide also must be created. Each rule promulgated by the Commission that significantly affects a substantial number of small businesses will include a "compliance guide" that facilitates their compliance with applicable requirements. This guide will be drafted by the originating Bureau/Office.

Periodic Review

SBREFA requires that any promulgated rules that have or will have a significant economic impact on a substantial number of small entities be reviewed periodically. There currently is one Commission rule which falls under this category. The agency conducted an IRFA and FRFA for Docket No. 98-28, *Licensing, Financial Responsibility Requirements, and General Duties for Ocean Transportation Intermediaries*. The Commission is revising Form FMC-18, which is used in the licensing process to collect information about OTI applicants, and also is planning for an electronically-submitted version. The Commission will review the impact of the involved rule in conjunction with that effort.

- FMC Policy and Procedures Regarding Proper considerations of Small Entities in Rulemaking: <http://www.fmc.gov/FMC%20Policy%20on%20Rulemakings.htm>

Federal Maritime Commission Single Point of Contact:

Joseph Farrell, Director
Office of Consumer Complaints
Federal Maritime Commission
800 N. Capitol Street N.W.
Washington, DC 20573
Telephone: 202-523-5807
Fax: 202-257-0059
E-mail: josephf@fmc.gov

FEDERAL MEDIATION AND CONCILIATION SERVICE

Federal Mediation and Conciliation Service Single Point of Contact:

Dan Funkhouser, Chief Information Officer,

Federal Mediation and Conciliation Service
2100 K St NW
Washington, DC 20427
Telephone: 202-606-5477
E-mail: dfunkhouser@fmcs.gov

FEDERAL RESERVE BOARD

Procurement (Companies wishing to conduct business with the Board)

Carlos Gutierrez
Small Business Procurement Liaison
20th and C Streets, NW, M/S 128
Washington, DC 20551
Telephone: 202-452-2458
E-mail: Carlos.Gutierrez@frb.gov

General Financial Information for Small Businesses

General Community Development information

www.federalreserve.gov/community.htm

A Guide to Business Credit for Women, Minorities, and Small Businesses

www.federalreserve.gov/community.htm

Federal Reserve Regulatory Reporting Forms

Current Reporting Forms

www.federalreserve.gov/boarddocs/reportforms/default.cfm

Reporting Forms Under Review

www.federalreserve.gov/boarddocs/reportforms/review.cfm

Banking and Regulatory Information

General Banking and Regulatory information

www.federalreserve.gov/banknreg.htm

Regulations (PDF files)

www.federalreserve.gov/regulations/default.htm

Supervision & Regulation Letters (SR Letters)

www.federalreserve.gov/boarddocs/srletters/

Federal Reserve Board Publications Department

Publications available free-of-charge on-line

www.federalreserve.gov/publications.htm

Publications available for order (on-line order form and information)

www.federalreserve.gov/pubs/order.htm

Telephone: 202-452-3245

Fax: 202-728-5886

20th and C Streets, NW,

Publications Services, M/S127

Washington, DC 20551

News and Events

General News and Events, including: testimonies and speeches; press releases; and services (e-mail notification for press releases and other unscheduled postings; personal digital assistant wireless service for press releases; and e-mail notification for testimony and speeches).

www.federalreserve.gov/newsevents.htm

Federal Reserve Board Single Point of Contact:

Cindy Ayouch
Chief, Financial Reports section
20th and C Streets, NW, M/S 41
Washington, DC 20551
Telephone: 202-452-3829
Fax: 202-728-5856
E-mail: Cynthia.M.Ayouch@frb.gov

General Federal Reserve Public website

www.federalreserve.gov

FEDERAL TRADE COMMISSION

The FTC offers a broad array of resources to aid small businesses in understanding their obligations under the laws and regulations administered by the Commission. The FTC offers general information in a variety of forms to address issues and questions that small businesses frequently encounter. Such guidance usually will satisfy the needs of small businesses for guidance as to their obligations.

For example, the FTC issues many types of publications designed to explain how small businesses and others can conduct their affairs in compliance with the laws and regulations administered by the FTC. These include materials specifically directed to businesses, such as (1) compliance guides explaining the requirements of specific FTC rules in a non-technical manner; (2) industry guides addressing common compliance issues under the Federal Trade Commission Act, as applied to particular industries or particular practices; (3) guidelines and policy statements explaining the application of antitrust laws to particular practices or industries. These materials frequently contain specific examples and illustrative fact patterns that show how the agency would apply the law to a particular set of facts.

The FTC holds public workshops, conferences and other forums to discuss specific topics, which often include compliance concerns. Also, FTC staff members and Commissioners frequently give speeches and conduct programs geared to explaining statutory and regulatory requirements and to answering attendees' questions. Where the topics are of particular interest to small business, these speeches may involve appearances before groups representing small-business interests.

Other sources of information include full texts of FTC-administered statutes and rules, advisory opinions issued by the Commission or its staff, texts of speeches and testimony, and information on enforcement actions. The FTC also produces and disseminates numerous print and broadcast materials that, while directed to consumers, can benefit small businesses by identifying the practices that generate consumer protection issues between businesses and their customers and explaining how they should be handled.

These materials and information are readily available to small businesses through a variety of sources, including:

Through the FTC's website www.ftc.gov, and from links at www.business.gov, www.firstgov.gov, and www.sba.gov/yourgovt/federal.html.

Directly from the FTC, Room H-130, 600 Pennsylvania Ave. NW, Washington, DC 20580, or call (toll-free) 877-FTC-HELP.

Additional FTC Guides

- How to Comply With The Children's Online Privacy Protection Rule
<http://www.ftc.gov/bcp/online/pubs/buspubs/coppa.pdf>,
<http://www.ftc.gov/bcp/online/pubs/buspubs/coppa.htm>
- Frequently Asked Advertising Questions: A Guide for Small Business
<http://www.ftc.gov/bcp/online/pubs/buspubs/ad-faqs.htm>

Where the sources of general information are insufficient to provide the needed guidance or assistance, an FTC staff member may provide specific, informal advice or arrange for a more formal response. Small businesses may make inquiries of the Commission by various means. Inquiries can be informal and the business need not even identify itself. The FTC also has procedures for providing, where appropriate, either a staff advisory opinion or, in specified circumstances, a Commission advisory opinion. It is generally most effective to discuss the issue with a staff person before deciding whether to seek a formal advisory opinion.

Inquiries regarding consumer protection issues:

FTC, Room H-130
600 Pennsylvania Ave. NW
Washington, DC 20580
Telephone: (toll-free) 1-877-FTC-HELP (1-877-382-4357).

Inquiries regarding competition issues

Office of Policy and Evaluation,
Bureau of Competition, Federal Trade Commission,
Washington, DC 20580
Telephone (202) 326-3300
Fax (202) 326-2884.

Federal Trade Commission Single Point of Contact

General inquiries may be directed to

Donald Clark
The Office of the Secretary
Federal Trade Commission
600 Pennsylvania Ave. NW
Washington, DC 20580
Telephone: 202-326-2515
Fax: 202-326-2496
Businesses may also contact any of the FTC's regional offices.

GENERAL SERVICES ADMINISTRATION

General Services Administration Single Point of Contact:

Mr. Felipe Mendoza
Associate Administrator
Office of Small Business Utilization
General Services Administration
1800 F Street, NW, Room 6029
Washington, DC 20405
Telephone: 202-501-0864

MERIT SYSTEMS PROTECTION BOARD

Merit Systems Protection Board Single Point of Contact:

Richard A. Dorr
Merit Systems Protection Board
1615 M Street NW, Suite 500
Washington, DC 20036
Telephone: 202-653-6772 ext.1113
Fax: 202-653-7821
E-mail: richard.dorr@mspb.gov

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

Compliance Assistance Resources

The Office of Small and Disadvantaged Business Utilization (OSDBU) promotes the utilization of small, disadvantaged and women-owned businesses in compliance with Federal laws, regulations, and policies. We assist such firms in obtaining contracts and subcontracts with NASA and its prime contractors. The OSDBU also facilitates the participation of small businesses in NASA's technology transfer and commercialization activities. Our objective is not only to ensure that small businesses are integrated seamlessly into the aerospace industrial base of the country, but that they can contribute to the performance of NASA missions. NASA supports a non-retaliation policy against small businesses as stated in NASA Policy Directive 5101.32 for the Ombudsman program.

Small businesses seeking work with NASA are directed to our website <http://osdbu.nasa.gov>. Activities in support of small businesses are listed with

information on how to get involved in obtaining contracts and subcontracts. Request for Proposals open for bid can be reviewed on the Internet at <http://procurement.nasa.gov>.

Description of Program

To get the highest return on investment, the NASA OSDBU has designed, implemented, and facilitated user-friendly programs and initiatives. This ensures the full integration of capable and high-quality small businesses into the competitive base of contractors from which NASA regularly purchases products and services. In addition, the OSDBU has an outreach effort to communicate with its target small business constituents, as well as an in-reach program to educate NASA technical, procurement, and administrative personnel about programs and policies. The OSDBU also disseminates information about its programs through conferences, forums, training and development programs, counseling, promotional materials, and the Internet. A free three-day course called Training and Development for Small Businesses in Advanced Technologies (TADSBAT) acquaints companies with the NASA culture. This course is held four times a year at different locations nationally. In addition, two forums were developed to seek high-technology firms capable of participating in the Agency's most complex programs. The Aerospace Technology Small Disadvantaged Forum is conducted twice a year at two of the aeronautics Field Centers where three to five high-tech SDBs are selected to give presentations to senior level technical managers. From the forum's inception in 1993 through FY 2001, more than \$85 million have been awarded to some of the presenters. A similar format is used for the Semi-annual Science Forums for Small Businesses. The Science Forums create a "high-level marketing opportunity" for selected small businesses to present their capabilities to earth science personnel at the Goddard Space Flight Center and to space science personnel at The Jet Propulsion Laboratory. Since the inception of this program in 1997, over \$47 million in contracts and subcontracts have been awarded to participants.

As NASA's premier initiative, the Mentor-Protégé Program is designed to encourage prime contractors to assist disadvantaged companies in expanding their technical capabilities where such firms are underrepresented in the market. Prime contractors receive a variety of incentives during the source selection process, plus award fee increments during the period of the contract, if performed successfully. To spur small businesses to actively pursue opportunities for commercializing NASA technology, the OSDBU, in conjunction with the Minority Owned Business Technology Transfer Consortium (MBTTC) puts on seminars throughout the year. Companies learn about the NASA Commercialization Technology Network, how to identify technologies and work with researchers and scientists, how to apply for licensing agreements, and how to find financing sources.

"Socioeconomic Procurement as a Business Imperative" is a one-day course given four times a year at different NASA Centers to a cross-section of the Agency's technical, procurement, and administrative personnel. The course emphasizes the value-added benefit of utilizing diverse small businesses (in addition to being in compliance with laws and regulations that require it). On its own initiative, NASA has established a one percent goal as a percent of total contract value awarded yearly to Historically Black

Colleges and Universities and other minority educational institutions. NASA is promoting the integration of this underutilized national resource.

To enhance the competitive advantage of small businesses in the national and world marketplace NASA has promoted the international quality management standard, ISO 9000. Since 1996, NASA has conducted seminars at major small business conferences on how to get certified. The NASA OSDBU staff became the first Federal headquarters office to become certified. The OSDBU wants to ensure that small businesses are aware of the fundamentals of an effective teaming agreement with large prime contractors. Seminars are taught by the Assistant Administrator for Small Business and are designed to enable small businesses to understand the legal structure of written teaming agreements, as well as the factors to consider when choosing a potential teaming partner. The NASA Minority Business Resource Advisory Committee (MBRAC) was organized to include executive members from disadvantaged companies who could advise the Administrator on how to increase small business involvement in NASA and remove regulatory obstacles to that end. Recommendations have been made and implemented in the areas of procurement source criteria, contract fee structure, contracting goals, and the review of subcontracting plans. The NASA Prime Contractor Roundtable was designed to facilitate an exchange between NASA and its prime contractors, mainly on how to increase the use of small businesses in their respective subcontracting programs. NASA's Assistant Administrator for Small Business is a board member of the World Association of Small and Medium Enterprises, an affiliated organization to the United Nations. Through this association, NASA is able to advise American small businesses on the advantages of competing in the world marketplace.

National Aeronautics and Space Administration Single Point of Contact:

Ralph C. Thomas, III, Assistant Administrator for Small and Disadvantaged Business Utilization

NASA HQ

300 E Street, SW

Washington, DC 20546

Telephone: 202-358-2088

Fax: 202-358-3261

ralph.thomas@hq.nasa.gov

NATIONAL ARCHIVES & RECORDS ADMINISTRATION

The National Archives and Records Administration (NARA) ensures, for citizens and Federal officials, ready access to essential evidence that documents the rights of American citizens, the actions of Federal officials, and the national experience. It establishes policies and procedures for managing U.S. Government records and assists Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring noncurrent records. NARA accessions, arranges, describes, preserves, and provides access to the essential documentation of the three branches of Government; manages the Presidential Libraries system; and publishes the laws, regulations, and Presidential and other public documents. It also assists the Information Security Oversight Office, which manages Federal classification and

declassification policies, and the National Historical Publications and Records Commission, which makes grants nationwide to help nonprofit organizations identify, preserve, and provide access to materials that document American history.

See www.archives.gov for information on the National Archives and Records Administration's programs and activities. One resource for small businesses is NARA's Office of the Federal Register (see http://www.archives.gov/federal_register/index.html). That office provides ready access to the official text of Federal laws, Presidential documents, administrative regulations and notices, and descriptions of Federal organizations, programs and activities.

National Archives and Records Administration Single Point of Contact:

Adrienne Thomas
Small & Disadvantaged Business
Utilization and Senior Acquisition Official
National Archives and Records Administration
8601 Adelphi Rd Suite 4100
College Park, MD 20470-6001
Telephone: 301-837-3050
E-mail: adrienne.thomas@nara.gov

NATIONAL COMMISSION ON LIBRARIES & INFORMATION SCIENCE

National Commission on Libraries and Information Science Single Point of Contact:

Robert S. Willard
Executive Director
1110 Vermont Avenue, NW, Suite 820
Washington, DC 20005-3552
Telephone: 202-606-9204
Fax: 202-606-9203
E-mail: bwillard@nclis.gov

NATIONAL CREDIT UNION ADMINISTRATION

NCUA's point of contact for federal credit unions is Neil McNamara, (703) 518-6570. Other points of contact are accessible through the NCUA website at www.ncua.gov and by telephone at (703) 518-6300.

National Credit Union Administration Single Point of Contact:

Neil McNamara
National Credit Union Administration
1775 Duke St.
Alexandria, VA 22314-3428
Telephone: 703-518-6570

NATIONAL ENDOWMENT FOR THE ARTS

National Endowment for the Arts Single Point of Contact:

William Hummel
1100 Pennsylvania Ave. Rm. 618
Washington DC 20506
Telephone: 202-682-5417
E-mail: hummelw@arts.gov

NATIONAL ENDOWMENT FOR THE HUMANITIES

National Endowment for the Humanities Single Point of Contact:

Susan G. Daisey, Director
Office of Grant Management
National Endowment for the Humanities
1100 Pennsylvania Avenue, NW, Room 311
Washington, DC 20506
Telephone: 202-606-8494
Fax: 202-606-8633
E-mail: sdaisey@neh.gov

NATIONAL INDIAN GAMING COMMISSION

National Indian Gaming Commission Single Point of Contact:

The public will be directed to the suitable contact for their area of interest by calling our headquarters front desk.

Gary Pechota, Chief of Staff
NIGC
1441 L Street NW, Suite 9100
Washington, DC 20005
Telephone: 202-632-7003
Fax: 202-632-7066
Website: www.nigc.gov

NATIONAL LABOR RELATIONS BOARD

The following actions have been taken to provide compliance assistance to all NLRB “customers”:

- NLRB recently issued instructions to its field offices to improve services to members of the public with limited English proficiency. These improvements would assist small businesses owned or managed by non-English speakers.
- NLRB continually seeks to improve the public information officer program in its field offices to ensure that the public is assisted properly with questions about their rights under the National Labor Relations Act (NLRA). NLRB information officers have responded to over 150,000 inquiries annually. Most direct individuals to other agencies or provide explanations about the individual’s rights under the NLRA. The services provided under our public information officer program assists small businesses by discouraging the filing of frivolous charges.
- NLRB recently changed its website related to our Standards of Service, providing clear explanations about what parties to NLRB proceedings can expect after

charges and petitions are filed. Our website provides for a procedure for the public to comment on how our services can be improved. (www.nlr.gov)

- NLRB is developing a policy, which will be made available to the public on our website, that will enhance the ability of parties to our proceedings to communicate with the Agency through e-mail, and submit certain documents electronically.
- NLRB field offices are continually encouraged to expand their outreach programs by speaking to business groups and labor organizations about our procedures, and participating in labor-management conferences where changes in the current case law are explained and discussed. Many small businesses take advantage of these conferences so that they can learn how to stay in compliance with the National Labor Relations Act.

National Labor Board Single Point of Contact:

Hugo Voogd, Deputy to the Assistant
General Counsel, NLRB
14th Street, N.W., Room 10204
Washington, DC 20570
Telephone: 202-273-0057
Fax: 202-273-4274 or 1044
E-mail: hugo.voogd@nlrb.gov
Website: www.nlr.gov

NATIONAL MEDIATION BOARD

National Mediation Board Single Point of Contact:

Denise M. Vines, Supervisory
Finance & Administration Specialist
Washington, DC 20572
Telephone: 202-692-5010
E-mail: vines@nmb.gov

NATIONAL SCIENCE FOUNDATION

National Science Foundation Single Point of Contact:

Donald Senich
Director, Office of Small and Disadvantaged Business Utilization Research and
Development
4201 Wilson Blvd
Rm. 527
Arlington, VA 22230
Telephone: 703-292-7082
Fax: 703-292-9055
E-mail: dsenich@nsf.gov

NUCLEAR REGULATORY COMMISSION

Nuclear Regulatory Commission Single Point of Contact:

Brenda Shelton, Chief
NRC Records Mgmt Branch, OCIO
U. S. Nuclear Regulatory Commission
Washington, D. C. 20555-0001
Telephone: 301- 415-7233
Fax: 301-415-6434
E-mail: BJS1@NRC.GOV
Website: <http://www.nrc.gov/>

OFFICE OF PERSONNEL MANAGEMENT

Office of Personnel Management Single Point of Contact:

Henry Wong
Office of Personnel Management
Contracting Facilities and Administrative Services Group
Telephone: 202-606-2240

OVERSEAS PRIVATE INVESTMENT CORPORATION

For general information on OPIC programs:

Small Business Hotline: 1-800-CALL-SBC (1-800-225-5722)
Local Area: 202-336-8700
Fax: 202-336-8701
E-mail: smallbiz@opic.gov

Overseas Private Investment Corporation Single Point of Contact:

Gary Colyar
Manager, Small Business Center
Overseas Private Investment Corporation
1100 New York Avenue, NW
Washington, D.C. 20527
Telephone: 202-306-8499
E-mail: gcoly@opic.gov

PEACE CORPS

The Peace Corps, as a small Federal Agency, relies on and contracts with small businesses for a majority of our products and services. The Office of Contracts maintains a list of submitted contractors to match against our posted contracting requirements. The list is maintained for one year after submission. An agency database is maintained for overseas contractors. To enroll in this database, visit our website.

Many short-term training contractors are needed for overseas services. Contracting opportunities available are posted on our website. Visit our website at www.peacecorps.gov under the heading About the Peace Corps, click on Management,

and then click on Contracting Opportunities. On this web page, click on learn more to see overseas training services needed and to find information about being added to our database. Contracts for over \$25,000 are posted on FedBizOpps.

Any questions or for further information, contact Ms. Judy Dawes. Ms. Dawes will provide assistance and explanations in complying with Peace Corps regulatory procedures and requirements for contracting.

Peace Corps Single Point of Contact:

Judy Dawes
Peace Corps
Office of Contracts
Deputy Director
1111 20th Street, NW, Room 4444
Washington, DC 20526
Telephone: 202-692-1624
Fax: 202-692-1621
Toll Free: 800-424-8580
E-mail: jdawes@peacecorps.gov
Website: www.peacecorps.gov

PENSION BENEFIT GUARANTY CORPORATION

Customer Service Center

A toll-free number (1-800-736-2444) dedicated to pension plan administrators and plan professionals.

Office of the RegFair Representative

Functions independently of enforcement and compliance activities, addresses issues raised by businesses that sponsor defined benefit pension plans, the vast majority of which are small businesses. The RegFair Representative is also PBGC's Problem Resolution Officer for plan practitioners, and can be reached via a toll-free number (1-800-736-2444, ext. 4163) or e-mail (practitioner.pro@pbgc.gov).

Ask an Attorney

An attorney in PBGC's Office of the General Counsel is available by telephone or e-mail for informal advice on legal issues pertaining to compliance, enforcement, and other matters of concern. The General Inquiry Attorney can be reached via a toll-free number (1-800-736-2444, ext. 4020) or e-mail (AskOGC@pbgc.gov).

PBGC's Web site

(www.pbgc.gov) includes:

- *The Small Business Guide to the PBGC*. This easy-to-read synopsis of all of a small plan sponsor's obligations under ERISA and our regulations makes it much easier for the small business owner to understand and comply with the program requirements. The booklet also contains phone numbers and other information on where to go for help.

- *Frequently Asked Questions.*
- *PBGC forms and instructions.*
- *Fact sheets on PBGC programs.*
- *Opinion Letters.* The General Counsel issues formal opinions on legal issues under Title IV of the Employee Retirement Income Security Act (ERISA).
- *The Blue Book* sets forth various questions of general interest to practitioners posed by representatives of the Enrolled Actuaries Program Committee, and provides answers from PBGC staff.
- *PBGC's Annual Report* provides financial information and describes its customer service, enforcement and compliance activities.

NOTE: All resources and publications available on PBGC's website can also be obtained by calling our Customer Service Center (1-800-736-2444).

Outreach

PBGC's outreach efforts include:

- *Meetings and conferences.* PBGC representatives participate in meetings and conferences with pension practitioners to address issues of mutual concern and to get their feedback.
- *Focus groups.* We conduct periodic focus groups to help determine ways in which we can better serve our customers; for example, with members of the American Society of Pension Actuaries (ASPA), a group which serves primarily small businesses.
- *Surveys.* Surveys are conducted regularly to continuously receive feedback from our pension practitioners, the majority of whom deal with the pension plans of small businesses.

Alternative Dispute Resolution (ADR) Policy

Under PBGC's ADR policy, PBGC examines the suitability of using ADR to resolve issues that would otherwise be resolved by adversarial administrative or judicial processes. In appropriate disputes, PBGC uses ADR in a good faith effort to achieve consensual resolution of issues in controversy, including compliance and enforcement matters.

Pension Benefit Guaranty Corporation Single Point of Contact:

Customer Service Center: 1-800-736-2444

Diane Morstein

Customer Service Center

Practitioner Problem Resolution Officer

Toll Free: 1-800-736-2444 ext 4136

The public can fully resolve most issues by calling PBGC Customer Service Center staff, 1-800-736-2444, and contacting Ms. Morstein only if the issue is not resolved to one's satisfaction.

RAILROAD RETIREMENT BOARD

Railroad Retirement Board Single Point of Contact:

Ronald J. Hodapp, Chief
Information Resources Management
Railroad Retirement Board
Telephone: 312-751-3366
E-mail: Ronald.Hodapp@rrb.gov

SECURITIES AND EXCHANGE COMMISSION

Congress created the Securities and Exchange Commission in 1934 to protect investors, and to maintain fair, honest, and efficient national securities markets. The Commission provides extensive compliance assistance to the public. Small businesses subject to SEC regulation include

- issuers of securities,
- investment companies and investment advisers,
- broker-dealers, and
- transfer agents.

Other businesses affected by SEC regulation include auditors of companies whose stocks are publicly held and subject to registration with the SEC. The SEC's Office of Small Business Policy, telephone number (202-942-2950), should generally be the first point of contact for any small business that seeks compliance assistance from the Securities and Exchange Commission. This office is the primary resource for small business issuers of securities. Small regulated entities may wish to contact the appropriate Division or other office directly (Market Regulation for broker-dealers and transfer agents; Investment Management for investment companies and investment advisers; the Office of Chief Accountant for accountants).

Members of the public seeking compliance assistance for Securities and Exchange Commission regulation may contact SEC staff by mail, e-mail, or telephone.

Sources of SEC Information:

- Organization and functions of the SEC: *The Investor's Advocate*:
<http://www.sec.gov/about/whatwedo.shtml>
- Brief review of governing federal regulations: *The Laws That Govern the Securities Industry* <http://www.sec.gov/about/laws.shtml>
- SEC regulation of small business capital formation and smaller public companies: *Q & A: Small Business and the SEC*
<http://www.sec.gov/info/smallbus/qasbsec.htm>
- SEC regulation of securities brokers and dealers: *Compliance Guide to the Regulation of Brokers and Dealers*
<http://www.sec.gov/divisions/marketreg/bdguide.htm>
- Regulations and Forms for Small Securities Issuers that issue securities subject to SEC regulation: *Regulations and forms applicable to small businesses*
<http://www.sec.gov/info/smallbus.shtml>

- Regulations and forms for registered investment advisers: *Investment Adviser Regulation* <http://www.sec.gov/divisions/investment/iard/iastuff.shtml>
- SEC forms and instructions for registered investment advisers: *Investment Adviser Forms* <http://www.sec.gov/divisions/investment/iard/iastuff.shtml>
- Procedures for obtaining accounting or auditing advice from the SEC's Chief Accountant's Office: *Guidance on Consulting with the Office of the Chief Accountant* <http://www.sec.gov/info/accountants.shtml>
- Descriptions of most commonly used SEC forms: <http://www.sec.gov/info/edgar/forms.htm>
- SEC regulations for recordkeeping and capital requirements for securities brokers and dealers: *Broker-Dealer Net Capital and Books and Records Guidance* <http://www.sec.gov/divisions/marketreg/bdnetcapital.htm>
- Staff analyses of securities laws and regulations as applied to particular legal, regulatory, or accounting issues: *Staff Interpretations* <http://www.sec.gov/interps.shtml>

Seminars, classes

- Annual meeting to explore means to improve capital formation for small business: *Annual Government-Business Forum on Small Business Capital Formation* <http://www.sec.gov/info/smallbus/sbforum.shtml>

Web based compliance

- Small Cap and Private Companies: <http://www.sec.gov/info/smallbus/qasbsec.htm>
- Investment Adviser Registration: *IARD* <http://www.sec.gov/divisions/investment/iaregulation.shtml>
- Registration and disclosure documents required to be and voluntarily filed electronically: *EDGAR -- electronic filing of SEC disclosure documents* <http://www.sec.gov/edgar.shtml>

Telephone service

- Office of Small Business Policy: 202-942-2950
- Division of Enforcement : 202-942-4530
- Toll-Free Consumer Information: 1-800-SEC-0330
- Small and minority business procurement: (202) 942-4990
- Public company disclosure requirements: 202-942-2825
- Office of Interpretations and Guidance for Market Regulation: 202-942-0069
- Regulation of Investment Companies and Investment Advisers: 202-942-0659

Online/e-mail service

- Inquiries about federal requirements for securities registration and corporate disclosure: cflatter@sec.gov
- Inquiries about applicability of securities laws to small business: smallbusiness@sec.gov (coming June 2003)
- Inquiries about the conduct of federally-regulated securities markets: marketreg@sec.gov

- Inquiries about federal regulation of investment advisers: IARDLIVE@sec.gov
- Inquiries about federal regulation of investment companies: IMOCC@sec.gov

Contacts

- Homepage: <http://www.sec.gov>
- News: <http://www.sec.gov/news.shtml>
- Regulatory: <http://www.sec.gov/about/laws.shtml>
<http://www.sec.gov/rules.shtml>
- Small Business: <http://www.sec.gov/info/smallbus.shtml>
- E-mail: smallbusiness@sec.gov
- Phone Number: (202) 942-2950

Securities and Exchange Commission Single Point of Contact:

Gerald Laporte, Chief
Office of Small Business Policy
Division of Corporation Finance
Securities and Exchange Commission
450 5th Street NW, Room 3501
Washington, DC 20549-0310
Telephone: 202-942-2950
Fax: 202-942-9516
E-mail: laporteg@sec.gov

SELECTIVE SERVICE SYSTEM

Selective Service System Single Point of Contact:

Calvin Montgomery
1515 Wilson Blvd.
Arlington, VA 22209
Telephone: 703-605-4038
E-mail: cmontgomery@sss.gov

SMALL BUSINESS ADMINISTRATION

Small businesses wanting access to SBA programs should call SBA's Answer Desk toll-free or e-mail answerdesk@sba.gov. In many cases, the SBA information technician receiving a call will directly answer the question. If a matter needs attention from a particular program specialist in the caller's immediate area of the country, the SBA Answer Desk can put the caller in touch with a specific individual in an SBA District Office or program office.

SBA Answer Desk

6302 Fairview Road, Suite 300
Charlotte, North Carolina 28210
Answer Desk TTY: (704) 344-6640
1-800-UASK-SBA (1-800-827-5722)
TTY Directory [[Text](#)] or [[PDF](#)]
Send e-mails to: answerdesk@sba.gov

Other good ways to access compliance information about SBA programs are going to the SBA website's frequently asked questions about SBA programs at <http://app1.sba.gov/faqs/> or to SBA's main webpage <http://www.sba.gov/>

Small Business Administration Single Point of Contact:

Ms. Jacqueline K. White, Chief
Administrative Information Branch
U.S. Small Business Administration
409 3rd Street, SW, MC5101
Washington, DC 20416-0005

Telephone: 202-205-7044
Fax: 202-481-2916
E-mail: jacqueline.white@sba.gov

SOCIAL SECURITY ADMINISTRATION

The majority of the services listed below are offered as a part of the Social Security Administration's (SSA) overall service to the business community in general, not specifically to small businesses. These services are directed to employers, businesses or organizations that serve as representative payees to Social Security beneficiaries, businesses that seek contracts with SSA and to schools. There are four primary avenues of access to these services with significant overlaps between them.

Toll-Free Telephone Service

- The Teleservice Center (TSC) number 800-772-1213 may be used by employers to verify that they have the correct Social Security number (SSN) for an employee. This verification saves the often difficult job of correcting wage reports made under an incorrect SSN. Up to five SSNs may be verified with one call if the employer can furnish their address and employer identification number (EIN). If they need to verify more than 5 but less than 50, the TSC will advise the employer to contact the nearest SSA Field Office (FO) and provide them with the FO's telephone number and address. There is a procedure for verifying more than 50, but this should not be an issue with small businesses.
- New employers wishing to apply for an EIN may also request from the TSC that the application form SS-4, *Application for Employer Identification Number*, be sent to them along with the Internal Revenue Service (IRS) publication, *Instructions for Form SS-4*.

- SSA maintains the SSA Employer Reporting Service Center at 800-772-6270 or online at <http://www.ssa.gov/employer/>. It can also be reached online from the SSA home page. This center can provide very detailed information on the best way for a particular employer to report wages. An employer calling the TSC but wanting more in-depth information about reporting wages, etc., will be referred to this number or website.
- Organizational Representative Payees are governmental or non-profit social service agencies that manage benefits for beneficiaries who are not able to manage benefits on their own. The TSC is a resource for organizational representative payees who must deal with the many issues that often arise with beneficiaries who cannot manage their own benefits. Changes in address or circumstances, non-receipt of check, work issues and many other issues can be dealt with primarily by phone.

Online Services

- The SSA website, <http://www.ssa.gov>, contains a link that directs businesses to the Business Services Online (BSO) website, <http://www.ssa.gov/bsowelcome.htm>. BSO is a suite of business services for companies to conduct business with SSA. BSO consists of Registration Services, Employer Services (Submit a Wage File, W-2 Online, View Status, View Notices, and View Errors), and the Social Security Number Verification Service. The employer must be a registered BSO user to use these services; however, registration is free. Businesses needing personalized assistance with wage reporting can follow a link, http://www.ssa.gov/employer/wage_reporting_specialists.htm, to find a current list of Employer Services Liaison Officers for each region who are available to discuss specific wage reporting issues by phone. Social Security personnel at these telephone numbers can help callers with all questions about how to submit W-2's to SSA. These are not toll-free telephone numbers, however.
- SSA's Office of Acquisition and Grants (OAG) maintains a website, <http://www.ssa.gov/oag>, which contains very helpful acquisition information to assist small businesses interested in doing business with SSA. OAG's policies in general make doing business with SSA very easy for small businesses. All contracts are offered on an "open bid" basis, meaning the bidding contractor does not have to be on any specific list of approved contractors. Also, they reserve some contracts for award to small businesses only.
- SSA maintains an excellent website, <http://www.ssa.gov/payee>, dedicated to Representative Payee requirements and responsibilities. This is significant because many beneficiaries who need a payee have no family or friends willing to serve in this capacity. As a result, many small social service organizations serve as payees. This website makes it very easy for small businesses to apply and be approved as an organizational payee. Training materials for payees are available at the website, including a written lesson, a PowerPoint presentation, and a video. The written material and the PowerPoint program can be downloaded from the website and the

video can be ordered. Also, interested parties can request the material, including the video, on a compact disk.

- SSA must verify the full time attendance of certain students by asking school officials to complete a form certifying that the student/beneficiary is in full time attendance at the school. School officials can access a dedicated website, <http://www.ssa.gov/schoolofficials/>, which explains the verification process, why the information is needed, and what is expected of them. The site also has a “Frequently Asked Questions” service. School officials are also able to download the form if they or the student lose the form they received from SSA.

Publications

- SSA publishes a quarterly newsletter in conjunction with the IRS called the SSA-IRS Reporter. This newsletter is mailed by IRS along with Form 941, Employer's Quarterly Federal Tax Return. It contains up-to-date wage and tax reporting information. While it is mailed to all employers, surveys show that it is predominately read by small business owners.
- Another helpful publication is a pamphlet called *W-2 Wage Reports for Your Employees Are Filed with the SSA*. This pamphlet (SSA Pub. No. 16-009, ICN 361758) is sent by IRS to all new employers. It tells the new employer about different methods of reporting wages, how to avoid errors in SSN and name, and how to get more information about Social Security.
- The *Employer's Guide to Filing Timely and Accurate W-2 Wage Reports* is available both in hard copy and on the SSA website at <http://www.ssa.gov/employer/pub.htm>. This pamphlet (SSA Pub. No. 16-004) explains an employer's responsibilities, how to file, where to file, how to avoid common reporting errors, how to correct them, finding help, etc.
- The publication, *A Guide for Farmers, Growers and Crew Leaders* (SSA Publication No. 05-10025), provides information on Social Security's benefit package and how to report income to SSA. This guide is available on SSA's website at <http://www.ssa.gov/employer/pub.htm>.

Outreach

- SSA participates in a number of IRS-related events. Staff attend six tax seminars a year presented by IRS. SSA staffs a booth at these public seminars and also provides a 1 1/2 hour workshop on employer reporting. A number of small businesses attend these workshops. SSA staff are also present at eight payroll reporting conferences each year in different parts of the country. These conferences are attended primarily by larger businesses, but they are open to any business.
- SSA holds The National Payroll Reporting Conference on an annual basis at its Baltimore headquarters. This conference was established in 1990 as a forum for Federal agencies and the business community to gather, identify, discuss and resolve common wage and tax reporting issues. This conference has had a significant positive impact on the accuracy of the wage data submitted to SSA. The conference also provides the business community an opportunity to have a voice in initiatives that will ultimately affect the way it does business. The conference is attended by many small companies from the surrounding states as well as by national payroll organizations

and service bureaus. Due to budget limitations, the 2003 conference will not be held; however, the Agency expects to sponsor the conference again in 2004.

- SSA's Office of Small and Disadvantaged Business Utilization provides assistance to small businesses through scheduling one-on-one meetings and participating in various procurement trade shows and conferences.

Social Security Administration Single Point of Contact:

Liz Davidson

SSA Reports Clearance Officer

1338 Annex Building

6401 Security Boulevard

Woodlawn, MD 21235

Telephone: 410-965-0454

Fax: 410-965-6400

E-Mail: Liz.Davidson@ssa.gov

SURFACE TRANSPORTATION BOARD

The Surface Transportation Board (STB) is an independent adjudicatory body administratively housed within the Department of Transportation. STB is responsible for the economic regulation of interstate surface transportation, primarily railroads, within the United States. STB's mission is to ensure that competitive, efficient and safe transportation services are provided to meet the needs of shippers, receivers and consumers. In furtherance of its mission, STB provides a number of services that small businesses might find useful:

- General Information: 202-565-1764
- Procurement: 202-565-1701
- Public Services: 202-565-1592 (how to participate in agency proceedings)
- Library/publications: 202-565-1668
- Rail Consumer Assistance (toll free): 866-254-1792
- Home page: www.stb.dot.gov
- Publications: Overview- Abandonments and Alternatives to Abandonments

Surface Transportation Board Single Point of Contact:

Anne K. Quinlan

1925 K Street, NW, Ste. 894

Washington, DC 20423-0001

Telephone: 202-565-1727

E-mail: quinlana@stb.dot.gov

TENNESSEE VALLEY AUTHORITY

Business Incubation Program

Over the years, TVA has provided capital to help communities establish business incubators to support new and expanding enterprises. The TVA Business Incubation Network includes 24 operational sites across the Valley where tenants share services, equipment, and building space. TVA provides technical and financial assistance to members of the TVA-supported network and also maintains the Business Incubator

Tenant Loan Fund, a revolving fund that helps tenants meet short-term needs for cash flow and operating capital.

Online Business Resource Center

TVA's Web-based center serves as an information gateway to valuable public and private resources on entrepreneurship, financial and technical assistance, industrial organizations, and business services. Topics range from setting up a business plan to finding capital, paying taxes, and marketing. The site provides access to the programs and services offered by TVA, other Tennessee Valley organizations, and nationwide resources. Visit the Online Business Resource Center at www.tva.com/econdev/obr.

Minority Business Development Program

TVA supports the growth and expansion of minority and socially and economically disadvantaged businesses with diverse packages of technical, capital, and managerial assistance. A key feature of the program is the Minority Business Development Loan Fund (MBDLF), a revolving fund that provides for loans ranging from \$50,000 to \$500,000. Through the MBDLF and the Valley Coalition, a partnership between TVA and regional banks, TVA promotes job creation and stimulates capital investment in the Valley.

Small and Minority Business Mentoring

Small and minority businesses that provide services to TVA receive support through TVA's mentoring program, which helps these firms grow and enhance their business operations. Assistance includes matching suppliers with business opportunities, identifying key business contacts, encouraging joint ventures and alliances, and linking TVA procurement needs with manufacturers and businesses in the Tennessee Valley.

Partners

TVA's economic development programs are delivered in partnership with public and private organizations. Some of our partners are:

- Distributors of TVA power
- Chambers of commerce and local economic development authorities
- TVA-supported business incubators
- State departments of economic and community development
- The U. S. Small Business Administration
- The U. S. Department of Commerce's Minority Business Development Agency
- Small business development centers
- U.S. Department of Agriculture Rural Development
- The Valley Coalition, a public/private lending and business assistance partnership between TVA and participating Valley financial institutions.

Small Business Assistance Website: <http://www.tva.com/econdev/smallbiz.htm>

Tennessee Valley Authority Single Point of Contact:

Philip S. McMullan, Project Manager

Business Growth and Innovation

Telephone: 615-232-6227

Fax: 615-232-6189

E-mail: psmcmullan@tva.gov

Website: www.tva.com/econdev/obr

MORRIS K. UDALL FOUNDATION

Morris K. Udall Foundation Single Point of Contact:

Ellen Wheeler

Deputy Executive Director and General Counsel

Morris K. Udall Foundation

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Tucson, AZ 85701

Telephone: 520-670-5529

Fax: 520-670-5530

E-mail: wheeler@udall.gov

U.S. ACCESS BOARD

The U.S. Access Board (Board) develops and maintains accessibility guidelines and standards for the built environment, transportation vehicles, electronic and information technology and telecommunications. These design requirements are used to enforce several different laws, including the Americans with Disabilities Act. A key part of the Board's mission is providing technical assistance on the design requirements it develops and maintains. Information about any of the Board's guidelines or standards or accessible design can be obtained through the Board's toll free numbers at 800-872-2253 (v) and 800-993-2822 (TTY); through fax at 202-272-0081; mail addressed to U.S. Access Board 1331 F St. NW Ste. 1000, Washington, D.C., 20004; e-mail to ta@access-board.gov or from the Board's website <http://www.access-board.gov>.

In addition, the Board participates in a wide range of training programs and conferences throughout the country every year. Information on upcoming events is available from the Board and is posted on its website at <http://www.access-board.gov/research&training/Training.htm>. The Board also publishes a host of guidance materials on its design requirements and other aspects of accessible design. Board publications are available in a variety of accessible formats. Copies of all Board publications are available free from the Board, including through its website at <http://www.access-board.gov/indexes/pubsindex.htm>.

U.S. Access Board Single Point of Contact:

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Deputy General Counsel
U.S. Access Board
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U.S. INTERNATIONAL TRADE COMMISSION

U.S. International Trade Commission Single Point of Contact:

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Fax: 202-205-2139
E-mail: greer@usitc.gov

U.S. TRADE REPRESENTATIVE

U.S. Trade Representative Single Point of Contact:

Greg Walters, Director of Small Business Outreach
Office of U.S. Trade Representative
600 17th St. NW
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Fax: 202-395-3692
E-mail: gwalters@ustr.gov